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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INFORMATION DISCLOSURE STATEMENT  
ACCORDING TO 37 C.F.R. §1.97(b)

APPLICANT(S): Yizhou SONG, et al. DOCKET NO: P05,0328  
 SERIAL NO.: 10/550,506 ART UNIT:  
 FILED: September 23, 2005 EXAMINER:  
 CONF. NO.  
 TITLE: THIN FILM FORMING METHOD AND FORMING DEVICE  
 THEREFOR

Commissioner for Patents  
 PO Box 1450  
 Alexandria, Virginia 22313-1450

Sir:

In accordance with the provisions of 37 C.F.R. §1.56 and the requirements of 37 C.F.R. §1.98, Applicant respectfully requests that a citation and examination of the references identified on the attached PTO/SB/08 form be made during the course of examination of the above-identified application for United States Patent.

The present Information Disclosure Statement is being filed according to 37 C.F.R. §1.97(b) and before the latter occurrence of:

- (1) three months from the filing date of a national application;
- (2) three months from the date of entry of the national stage as set forth in 37 C.F.R. 1.491 in an international application; or
- (3) the mailing date of a first Office Action on the merits.

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## REMARKS

The attached PTO/SB/08 form lists related art references for the above identified application. In accordance with 37 C.F.R. §1.98(a)(2)(ii), no copies of the U.S. patent documents are being supplied herewith, but will be provided upon request.

## EXPLANATION OF RELEVANCE

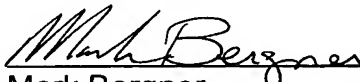
References AK and AP-AT were cited in the International Search Report.

References AO and AJ are English-language references corresponding to Japanese Patent reference AQ. References AE, AF, and AM are English-language references corresponding to Japanese Patent reference AP. References AA-AD and AG-AH are all English-language references corresponding to Japanese Patent reference AL.

The filing of the present Information Disclosure Statement is not to be construed as a representation that a search has been made, and is not to be construed as an admission that the information cited in the present Information Disclosure Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

The above citation of related art is not a representation that such art constitutes a complete or exhaustive listing of all pertinent related art, nor that it necessarily includes the closest or most relevant art. The aforementioned citation comprises a voluntary citation of related art of which applicant and his attorney are presently aware and is not intended to serve as a substitute for the Examiner's own search.

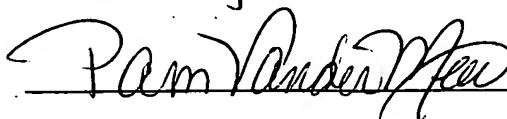
Submitted by,

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#### **CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450 on January 10, 2006.





PTO/SB/08A (07-05)

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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	10/550,506
Filing Date	September 23, 2005
First Named Inventor	Song et al
Art Unit	
Examiner Name	
Attorney Docket Number	P05,0328

Sheet 1 of 2

**U. S. PATENT DOCUMENTS**

Examiner- Initials*	Cite- No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
	AA	US- 4,851,095	07/25/1989	Scobey et al	
	AB	US- 5,124,013	06/23/1992	Seddon et al	
	AC	US- 5,225,057	07/06/1993	LeFebvre et al	
	AD	US- 5,618,388	04/08/1997	Seeser et al	
	AE	US- 5,672,252	09/30/1997	Hayashi et al	
	AF	US- 5,674,366	10/07/1997	Hayashi et al	
	AG	US- 5,798,027	08/25/1998	Lefebvre et al	
	AH	US- 5,879,519	03/09/1999	Seeser et al	
	AI	US- 6,207,536	03/27/2001	Matsumoto et al	
	AJ	US-			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
	AK	EP 0 409 451	01/23/1991	Lefebvre et al		
	AL	JP 3-229870	10/11/1991	Lefebvre et al		
	AM	EP 0 600 303	06/08/1994	Hayashi et al		
	AO	EP 0 945 523	09/29/1999	Shigeharu et al		

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Art Unit	
Examiner Name	
Attorney Docket Number	P05,0328

Sheet 2 of 2

### NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AP	Abstract of Japanese 06172990 of 6/21/1994	
	AQ	Abstract of Japanese 11279757 of 10/12/1999	
	AR	Song et al "Optical and structural properties of dense Si <sub>2</sub> , Ta <sub>2</sub> O <sub>5</sub> and Nb <sub>2</sub> O <sub>5</sub> thin-films deposited by indirectly reactive sputtering technique, VACUUM, Vol. 59, pp 755-763 (2000)	
	AS	Abstract of Japanese 2000119846 of 04/25/2000	
	AT	Abstract of Japanese 2001011605 of 01/16/2001	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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